



*RENEWABLE
ENERGY
PROGRAM*

**CALIFORNIA
ENERGY
COMMISSION**

EXISTING RENEWABLE FACILITIES PROGRAM

Committee Draft

DRAFT GUIDEBOOK

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Gray Davis, Governor

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I - Introduction

This *Existing Renewable Facilities Program Guidebook* is one of several guidebooks the California Energy Commission (Commission) has adopted to implement the Renewable Energy Program pursuant to Senate Bill 1038 [SB 1038; (Stats. 2002, Ch. 515)]. It describes the requirements for receiving funding under the Existing Renewable Facilities Program element of the Renewable Energy Program.

The Commission has adopted other guidebooks to address the requirements for the other elements of the Renewable Energy Program as well as guidelines governing the overall administration of the program. The *Overall Program Guidebook* describes how the program will be administered and includes information on requirements that apply to all program elements of the Renewable Energy Program.

To qualify for funding under the Existing Renewable Facilities Program, applicants must satisfy the requirements contained in both the *Overall Program Guidebook* and this *Existing Renewable Facilities Program Guidebook*. This guidebook supersedes the previous guidebook, *Existing Renewable Resources Account Guidebook*, Fifth Edition.

II - Purpose

The Existing Renewable Facilities Program (ERFP) is designed to improve the competitiveness of existing in-state renewable generating facilities, as well as secure for California the environmental, economic, and reliability benefits these facilities provide by continuing to operate.

The Renewable Energy Program is funded under SB 1038, with funds collected from the ratepayers of the three largest investor-owned utilities in California to support existing, new, and emerging renewable electricity generation technologies. For more information about the Renewable Energy Program, please visit the Commission's website at <www.energy.ca.gov/renewables>.

III - Overview

The ERFP provides funding in the form of production incentives to eligible renewable facilities for each kilowatt-hour of eligible electricity generated. To qualify for funding, applicants must ensure that the renewable facility and electricity generated meet a number of requirements. The facility must utilize a renewable energy source to generate electricity, and the facility must be located within the state or located near the state's border and have its first point of grid interconnection within the state. In addition, the electricity generated must not be sold under a high fixed price contract, receive incentives from the Agricultural Biomass-to-Energy Incentive Grant Program, be used on-site, or sold in a manner avoiding competitive transition charge payments.

Applicants for eligible renewable facilities must register with the Energy Commission as a renewable supplier and meet further eligibility requirements to apply for funding. Qualifying generators are issued two certificates: one for being a registered renewable supplier and one showing that the supplier is eligible to receive funds from the program. Two separate certificates are issued because only a subset of the facilities that are eligible for registration as renewable suppliers are eligible for funding. This subset includes facilities utilizing biomass, solar thermal, or wind energy. Applicants for any facility that participated in the Existing Renewable Resources Account under Senate Bill 90 (SB 90) are required to re-register and update their information to receive funding under the ERFP. Applicants must submit a new CEC-1038E-4.

Applicants that are eligible for funding must submit monthly invoices to document and receive funding for their eligible generation. The Energy Commission then reviews these invoices and makes incentive payments based on the eligible generation and the applicable production incentive rate.

Program Funding

The ERFP has been allocated \$27,000,000 annually. Of this amount, \$20,250,000 is available to facilities utilizing biomass or solar thermal technology. These facilities are referred to as Tier 1 facilities. The remaining \$6,750,000 is available to facilities utilizing wind technology, which are referred to as Tier 2 facilities.

The funds available to each tier annually are disbursed monthly in equal amounts. Any funds that are not disbursed in a given month are rolled over into the following month for distribution within the same tier.

Production Incentive Rate

ERFP funds are paid to eligible renewable suppliers in the form of a simple cent per kilowatt-hour (kWh) production incentive. The incentive rates vary by tier and are based on the **lowest** of three possible calculations:

- 1) the difference between a pre-determined target price and market clearing price,
- 2) a pre-determined cents per kWh cap, or
- 3) the funds-adjusted price for the tier. The funds-adjusted price is calculated as follows:
 - a) divide the total funds available in a month by the total payments due that month (as calculated using the minimum of formulas (1) and (2) above) to obtain an adjustment fund multiplier (AFM)), and
 - b) multiply the minimum of formulas (1) and (2) by the AFM to determine the funds-adjusted price for each facility.

The pre-determined target prices and incentive caps for each tier are shown in Table 1 below.¹

Table 1
Target Prices and Payment Caps
for Existing Renewable Facilities
(cents per kWh)

		2002	2003	2004	2005	2006
Tier 1 (Biomass, Solar Thermal)	Target Price	5.37	5.37	5. 37	5. 37	5. 37
	Cap	1.0	1.0	1.0	1.0	1.0
Tier 2 (Wind)	Target Price	3.8	3.8	3.8	3.8	3.8
	Cap	1.0	1.0	1.0	1.0	1.0

Determination of Market Clearing Price

For facilities eligible to receive funding from the ERFP, the value of the market-clearing price will be determined according to one of the following options, depending on the type of contract a facility has for energy payments.

- 1) For facilities with an IOU contract, the value of the market clearing price shall be the monthly time-period weighted average short-run avoided energy cost (SRAC) **specific to each of the three major utility service areas** (Pacific Gas & Electric Company (PG&E), Southern California Edison Company (SCE), or San Diego Gas & Electric Company (SDG&E)). This applies to facilities receiving variable monthly payments based on the SRAC.
- 2) For facilities with a fixed price energy contract, the value of the market clearing price shall be the monthly average energy price specified in the contract (e.g. with Department of Water Resources (DWR), the California Power Authority (CPA), an IOU, etc.).
- 3) For facilities that do not fall under the provisions of options (1) or (2) above, the market clearing price will be determined by the Energy Commission based on the actual energy price received by the facility. In many cases, this value will be the SRAC price, as listed in option (1) above, which was used as the representative market-clearing price for all facilities not under a utility contract from 1998 through 2001.

¹ The target prices and caps shown in Table 1 differ from those in the Commission's Investment Plan, *Investing in Renewable Electricity Generation in California (P500-00-022, June 2001)*, due to changes in market conditions since the Investment Plan was published.

IV - Registration

To register a facility as a renewable supplier, applicants must satisfy the requirements below and submit a completed form CEC-1038E-1, Registration Form for Renewable Suppliers, to the Energy Commission. Applicants that meet the funding eligibility requirements below and wish to receive funds from the ERFP must submit a completed form CEC-1038E-2 or CEC-1038E-4. (Form CEC-1038E-2 should only be submitted the first time that an applicant applies for funding eligibility). Applicants for any facility that was eligible to receive funds under SB 90 must submit a completed CEC-1038E-4 if they wish to continue receiving funds from the ERFP starting January 2003. **NO** payments shall be made to facilities that fail to make the necessary updates.

Renewable Supplier Registration

To qualify for registration as a Renewable Supplier, an applicant must ensure that the facility meets the following conditions:

1. The facility must use one or more of the following energy sources to generate electricity: solar, wind, geothermal, solid-fuel biomass, waste tire, municipal solid waste, digester gas, or hydropower with a generating capacity of 30 megawatts or less. The 30 megawatt limitation applies to the sum capacity of all hydroelectric turbine generators employed at the facility.
2. The facility may use no more than 25 percent fossil fuel. This percentage is determined on an annual basis consistent with section 292.204(b) of Title 18 of the Code of Federal Regulations. This section provides that the content of all fossil fuels used, in the aggregate, may not exceed 25 percent of the total energy input of the facility during a given calendar year.

Registration as a renewable supplier does not imply Energy Commission endorsement or verification of renewable status. Registration as a renewable supplier merely indicates that the facility has certified under penalty of perjury that it meets the registration requirements of a renewable supplier and has obtained a CEC ID number from the Energy Commission, which may be required for tracking and reporting purposes.

Funding Eligibility Registration

Facilities registered as renewable suppliers are eligible for funding if they satisfy the requirements below and submit to the Energy Commission a completed Form CEC-1038E-2, Funding Eligibility Form for Renewable Suppliers.

1. The facility must be located in California, or located near California's border with its first point of interconnection to the Western Electricity Coordinating Council's transmission grid located in California.

2. The facility was operational prior to September 26, 1996 **AND** is certified as a qualifying small power production facility pursuant to section 292.207 of Title 18 of the Code of Federal Regulations. This includes repowered facilities.
3. The facility is **NOT** owned by an electrical corporation as defined in Public Utilities Code section 218 or a local publicly-owned electric utility as defined in Public Utilities Code section 9604(d).
4. The facility is **NOT** selling its generation under a high fixed price contract. A high fixed price contract is any power purchase contract that provides energy payments based on a price per unit measure of electricity that (1) was known or ascertainable at the time the contract was entered into and (2) has an annual average that is greater than or equal to the applicable ERFP target price.

In addition, a facility's energy must be generated **AFTER January 1, 2003** and meet the following requirements.

1. The energy must be sold to customers **WITHIN** the state of California.
2. The energy must **NOT** receive monthly average energy payments at a price equal to or greater than the applicable target price.
3. The energy must **NOT** be used on site (self-generation).
4. The energy must **NOT** be sold to customers of local publicly owned electric utilities.
5. The energy must **NOT** receive incentive payments from other SB 1038 elements or the Energy Commission's New Renewable Resources Account (SB 90 funding).
6. The energy must **NOT** be excluded from any applicable competitive transition charge payments (such as over-the-fence transactions²) or sold in a manner avoiding these payments.
7. The energy must **NOT** receive funding under the Agricultural Biomass-to-Energy Incentive Grant Program pursuant to Food and Agriculture Code sections 1101, et sequentia.

Energy from incremental generation additions or enhancements to a facility, and energy sold through a power exchange, is also eligible for funding from the Existing Renewable Program.

In addition to Form CEC-1038E-2, suppliers applying for funding must submit a completed State of California Vendor Data Record (STD-204). The state of California requires all parties entering into business transactions that may lead to payment(s) from the state to provide their Taxpayer Identification Number (TIN) as required by the State Revenue and Taxation Code, Section 18646, and Internal Revenue Code, Section

² See Section 372 of the Public Utilities Code.

6109. This form must be on file with the Energy Commission before any payments can be made. If you have any questions about this form, please contact the California Franchise Tax Board at 1-800-852-5711.

In addition, all suppliers applying for funding must submit a completed CEC-1038E-5 form, Authorized Signature Form. Only monthly invoices signed by persons listed on this form shall be accepted.

All forms necessary to apply for registration and funding are available in Section VII of this guidebook, on the Energy Commission website, or by contacting the Energy Commission's Call Center.

Website: [<http://www.energy.ca.gov/renewables/>](http://www.energy.ca.gov/renewables/)

Call Center E-mail: Renewable@energy.state.ca.us

Call Center Phone: (800) 555-7794

Completed original forms **must** be mailed to:

California Energy Commission
Attn: Tony Goncalves
Renewable Energy Program
California Energy Commission
1516 Ninth Street, MS-45
Sacramento, CA 95814-5512

Suppliers may submit their forms by telefax to meet a submittal deadline, provided the original forms are subsequently submitted by mail. Forms should be telefaxed to (916) 653-2543. See Section VII of this guidebook for instructions on completing forms.

A facility's qualifying generation becomes eligible for funds on the date the Energy Commission receives its completed forms, provided the Energy Commission determines the facility is eligible to receive funding. Pre-registration generation is not eligible, with one exception. The Energy Commission cannot register facilities or determine funding eligibility until after it formally adopts this guidebook. Therefore, for January and February 2003 **ONLY**, a facility's generation will be eligible for funding as long as the Energy Commission receives the facility's registration and eligibility forms by close of business (5 p.m.) on February 15, 2003.

After February 15, 2003, suppliers wishing to register and be eligible for funding must have their forms to the Energy Commission no later than close of business (5 p.m.) on the first business day of the month if they are to be eligible to receive incentive payments for that month's generation. Suppliers submitting forms after this time may be registered as renewable suppliers, but their generation will not be eligible for funds until the following month.

If a facility is ineligible for funding when it registers, the renewable supplier should apply for funding eligibility at the beginning of the month when the supplier anticipates

becoming eligible. For example, a supplier should apply for funding eligibility on or before June 1, 2003, if its high fixed price contract ends on June 15, 2003, as it will become eligible for funding on this date. In this example, only the qualifying portion of energy generated in June 2003 would be eligible for funding.

Processing Registration and Eligibility Forms

The Energy Commission expects to review and process an application for registration and funding eligibility within 10 business days of their receipt, unless questions or concerns arise regarding the application. If questions arise, the applicant will be contacted and may be asked to submit additional information. Otherwise, the Energy Commission will notify applicants in writing once eligibility is determined.

If an application for registration is approved, the facility will be issued a certificate from the Energy Commission stating the facility is a registered renewable supplier, along with a five-digit supplier number to be used in all subsequent transactions. If a facility's application for funding eligibility is approved, the registered renewable supplier will be issued an additional certificate stating that it is eligible to receive funds from the ERFP.

Updating Registration and Eligibility Forms

Registered participants must submit new forms (CEC-1038E-4 for those updating information on CEC-1038E-2) identifying changes if any of the information submitted on their original registration, eligibility, Vendor Data Record, or authorized signature form changes. Any new forms submitted should be noted as amendments to the original application forms. From time to time, the Energy Commission may require facilities to submit revised forms to ensure all data are current.

V - Incentive Payment Process

To receive funding, registered facilities that are eligible for funding must submit monthly invoices to document their eligible generation along with a written third-party verification of the eligible electricity generated. The Energy Commission then reviews these invoices and makes incentive payments based on the eligible generation and the applicable production incentive rate. See Section VII of this guidebook for the monthly invoice form and instructions for completing this form.

A written statement from an independent third party verifying the facility's electricity production data for the billing month must accompany the facility's invoices. The third party must be independent of the facility and gather data on the amount of electricity production supplied by the facility to the transmission grid or distribution system on a monthly basis. This may be a utility, the Independent System Operator created pursuant to Section 330 of the Public Utilities Code, an aggregator, a scheduling coordinator, or other similar entity.

For facilities using a scheduling coordinator to provide their third-party verification, a signed letter from the scheduling coordinator must accompany any additional documentation. This letter must be on the scheduling coordinators letterhead and include at minimum: facility name, facility CEC ID number, generation month, and total generation for the month. If the independent third party's statement is **NOT received** in time to submit it with the facility's invoice, the facility is expected to submit its invoice with other evidence of the amount of eligible power generated during the billing month. A letter explaining that the third party's statement could not be submitted and describing the evidence submitted in its place must also be submitted with the invoice.

The Energy Commission will evaluate invoices submitted without third party verification on a case-by-case basis and notify the facility whether the amount claimed in the invoice, or any part of it, will be accepted and paid. The Energy Commission may elect to pay only that portion of the amount invoiced which appears to be reasonable, given the evidence submitted in support of the invoice, the prior months' generation, and other factors deemed pertinent at the time of evaluation. Subsequently, when available, the third party statement **must** be furnished to the Energy Commission, and payment adjustments will be made for any differences in the estimated eligible generation and actual eligible generation. Please note that the monthly invoices and third party statements submitted to the Energy Commission are **public records**, which are subject to disclosure.

Invoices shall be submitted to the Energy Commission by the due dates shown in Table 2, Invoicing Schedule.

Invoices may be **submitted by telefax or by mail** to the following address:

California Energy Commission
Renewable Energy Program
Attention: Accounting Office, MS-2
1516 Ninth Street
Sacramento, CA 95814-5512

Telefax: (916) 653-1435

The Energy Commission must receive invoices at the above address no later than 11:59 p.m. if by telefax, or 5 p.m. PST if by mail, on the due date specified in the Invoicing Schedule. If an invoice is incomplete, illegible, or received after the due date specified in the Invoicing Schedule, the facility will be notified by fax why the invoice is rejected. This notice will be faxed to the contact person identified on the eligibility form or monthly invoice form. The facility is responsible to ensure that the contact information is up to date and current.

Suppliers who fail to invoice the Energy Commission properly for a given billing month, as specified herein, shall not receive payment for that billing month.

After receiving invoices, the Energy Commission will calculate cents per kilowatt-hour payments for each Tier based on the formulas described in “Production Incentive Rate” of this guidebook.

For facilities eligible to receive funding from the ERFP, the market-clearing price will be determined according to the options described in “Determination of Market-Clearing Price” of this guidebook.

The ERFP will not provide incentive payments to a facility whose average monthly energy price is above the applicable target price. The participating facilities are responsible for providing the Energy Commission with sufficient proof to document the price received for generation funded through the ERFP. Any facility that **fails** to provide adequate documentation **shall be denied funding** until such time as appropriate documentation is provided.

The Energy Commission will not require disclosure of the actual energy prices received for any month in which a facility does not seek program funding. For facilities receiving payments under SRAC, a utility statement (which should be submitted as third-party verification) shall be sufficient to meet this requirement.

Agricultural Biomass-to-Energy Incentive Grant Program Participants

For facilities receiving Agricultural Biomass-to-Energy Incentive Grant Program funding (Agricultural Grant Program), the following method will be used to determine incentive payments from the ERFP.

1. All facilities participating in the Agricultural Grant Program shall submit a copy of their total annual grant award to the Energy Commission.
2. When submitting a monthly invoice to the ERFP, participants in the Agricultural Grant Program shall submit proof of payment from the Agricultural Grant Program for the month being invoiced. Absent the appropriate proof of payment from the Agricultural Grant Program, the Energy Commission shall assume that 1/12th of the total annual grant award was received from the Agricultural Grant Program for the month invoiced.
3. The Energy Commission shall calculate incentive payments from the ERFP as described in this guidebook and then subtract the value obtained in (2) above from this value. If no payments are made from the ERFP, the facility simply keeps the value determined in (2) above.
4. At the end of each fiscal year, the Energy Commission will true up payments by verifying actual payments made to each facility from the Agricultural Grant Program.

Payments

The Energy Commission intends to make incentive payments within 60 days of the end of the billing month. Table 2, Invoicing Schedule, on page 11 lists invoice due dates and anticipated payment mailing dates. The payment for your January 2003 generation should be mailed to you on or about March 31, 2003. Payment for your February 2003 generation should be mailed on or about April 30, 2003, and so on. The Energy Commission will send a statement that explains how the payment was calculated for the billing month. The statement will also give the program-to-date status both for your facility and for the entire tier of which you are a part. A sample statement for January 2003, using the numbers in the sample below, is included at the end of this guidebook.

Periodically, the Energy Commission may make adjustments to your monthly payment (for instance, it may be necessary to correct a meter reading or reporting error from prior months). These adjustments will be reflected on your monthly statement.

Table 2
Invoicing Schedule

Billing Month	Invoice Due Date*	Anticipated Payment Date
January 2003	March 10, 2003	March 31, 2003
February 2003	April 10, 2003	April 30, 2003
March 2003	May 12, 2003	June 2, 2003
April 2003	June 10, 2003	June 30, 2003
May 2003	July 10, 2003	July 31, 2003
June 2003	August 11, 2003	September 1, 2003
July 2003	September 10, 2003	September 30, 2003
August 2003	October 10, 2003	October 31, 2003
September 2003	November 10, 2003	December 1, 2003
October 2003	December 10, 2003	December 31, 2003
November 2003	January 12, 2004	February 2, 2004
December 2003	February 10, 2004	March 1, 2004
January 2004	March 10, 2004	March 31, 2004
February 2004	April 12, 2004	April 30, 2004
March 2004	May 10, 2004	June 1, 2004
April 2004	June 10, 2004	June 30, 2004
May 2004	July 12, 2004	August 2, 2004
June 2004	August 10, 2004	August 31, 2004
July 2004	September 10, 2004	September 30, 2004
August 2004	October 11, 2004	November 1, 2004
September 2004	November 10, 2004	November 30, 2004
October 2004	December 10, 2004	December 31, 2005
November 2004	January 10, 2005	January 31, 2005
December 2004	February 10, 2005	February 28 2005
January 2005	March 10, 2005	March 31, 2005
February 2005	April 11, 2005	May 2, 2005
March 2005	May 10, 2005	May 31, 2005
April 2005	June 10, 2005	June 30, 2005
May 2005	July 11, 2005	August 1, 2005
June 2005	August 10, 2005	August 31, 2005
July 2005	September 12, 2005	September 30, 2005
August 2005	October 10, 2005	October 31, 2005
September 2005	November 10, 2005	November 30, 2005
October 2005	December 12, 2005	January 2, 2006
November 2005	January 10, 2006	January 31, 2006
December 2005	February 10, 2006	February 28, 2006
January 2006	March 10, 2006	March 31, 2006
February 2006	April 10, 2006	May 1, 2006
March 2006	May 10, 2006	May 31, 2006
April 2006	June 12, 2006	June 30, 2006
May 2006	July 10, 2006	July 31, 2006
June 2006	August 10, 2006	August 31, 2006
July 2006	September 11, 2006	October 2, 2006
August 2006	October 10, 2006	October 31, 2006
September 2006	November 10, 2006	November 30, 2006
October 2006	December 11, 2006	January 1, 2007
November 2006	January 10, 2007	January 31, 2007
December 2006	February 12, 2007	February 28, 2007

* Invoices are due approximately 40 days after the billing month. If the invoice due date falls on a weekend or State of California Holiday, invoices are due on the next business day.

Sample Calculation of Incentive Payment

Below is an example of how the incentive payment would be calculated for a Tier 1 facility in PG&E's service territory for January 2003. In the example, any numbers used other than target prices and caps are for illustration only and should not be considered accurate representations of market price, expected available funds, individual renewable facility generation, or total renewable generation.

Tier 1 funds available for January 2003	\$3,600,000
Tier 1 funds to be paid using the minimum of (Target - Market Price) and Cap	\$4,500,000
Adjustment Fund Multiplier (AFM)	0.80 (\$3,600,000/\$4,500,000)
Total qualifying renewable generation in Tier 1 for January 2003	500,000,000 kWhs
Facility generation for January 2003	15,000,000 kWhs
PG&E's Short-Run Avoided Cost for January 2003	2.9 cents/kWh
Target price for Tier 1	5.37 cents/kWh
Cap for Tier 1	1.0 cents/kWh

Using these numbers to calculate the three payment formulas, the results would be:

1) Tier 1 target price - market price	2.47 cents/kWh
2) Tier 1 Cap	1.0 cents/kWh
3) Minimum of 1) and 2) (from above) multiplied by the AFM	0.8 cents/kWh

In this example, the lowest of the three formulas would be number 3; therefore, for January 2003, the Tier 1 facility would receive 0.8 cents per kilowatt hour, or \$120,000.

VI - Definitions

aggregator -- an entity responsible for planning, scheduling, accounting, billing, and settlement for energy deliveries for portfolios of sellers and/or buyers.

billing month -- the period of time coinciding with a calendar month in which a Registered Renewable Supplier is entitled to receive an incentive payment pursuant to this guidebook.

biomass -- any organic material not derived from fossil fuels.

capacity -- the maximum amount of electricity that a generating unit, power facility, or utility can produce under specified conditions. Capacity is measured in megawatts.

competitive transition charge (CTC) -- a charge authorized by the California Public Utilities Commission that is imposed on the ratepayers of electrical corporations (i.e. PG&E, SCE and SDG&E) to recover the costs of utility investments made on behalf of their former customers. The CTC is to be collected in a competitively-neutral manner that does not increase rates for any customer class solely due to the existence of transition costs. [Refer to Public Utilities Code Section 367]

conventional power source -- Public Utilities Code Section 2805 defines a "conventional power source" as power derived from nuclear energy, or the operation of a hydropower facility greater than 30 megawatts, or the combustion of fossil fuels with the exception of cogeneration.

digester gas -- gas from the anaerobic digestion of biological wastes.

electrical corporation -- as defined in Public Utilities Code section 218.

electric service provider -- an entity such as a marketer or aggregator who provides electricity directly to an end-use customer.

end-use customer -- a residential, commercial, agricultural, or industrial customer in the electric industry who buys electric power to be consumed as a final product (not for resale).

facility -- see **project**.

fixed energy payments -- payments to a generator for energy delivered under a power purchase contract, which are based on a price per unit measure of electricity that was known or ascertainable at the time the contract was entered into. (Fixed energy payments cannot be based on market conditions, such as short-run avoided costs, since these conditions were not known or ascertainable at the time the power purchase contract was entered into).

fossil fuel -- hydrocarbons, including coal, petroleum, or natural gas, occurring in and extracted from underground deposits, and mixtures or byproducts of these hydrocarbons.

geothermal -- natural heat from within the earth, captured for production of electric power, space heating, or industrial steam.

high fixed price contract -- any power purchase contract that provides energy payments based on a price per unit measure of electricity that 1) was known or ascertainable at the time the contract was entered into and 2) has an annual average that is greater than or equal to the applicable Existing Renewable Program target price.

hydroelectric -- a technology that produces electricity from falling water that turns a turbine generator, referred to as hydro. See also "small hydro."

kilowatt (kW) -- one thousand watts. A unit of measure for the amount of electricity needed to operate given equipment. A typical home using central air conditioning and other equipment might have a demand of 4-6 kW on a hot summer afternoon.

kilowatt hour (kWh) -- the most commonly-used unit of measure telling the amount of electricity consumed over time. It means one kilowatt of electricity supplied for one hour. A typical California household consumes about 500 kWh in an average month.

landfill gas (LFG) -- gas produced by the breakdown of organic matter in a landfill (composed primarily of methane and carbon dioxide) or the technology that uses this gas to produce power.

local publicly owned electric utility -- as defined in Public Utilities Code section 9604, subdivision (d), and which includes a municipal utility district, a public utility district, an irrigation district, or a joint powers authority made up of one or more of these entities.

marketer -- an entity who takes title to electric power and then resells the power to end-use customers.

megawatt (MW) -- one thousand kilowatts. One megawatt is about the amount of power to meet the peak demand of a large hotel.

municipal solid waste (MSW) -- garbage which can be processed and burned to produce energy.

municipal utility -- a local publicly owned (customer-owned) electric utility that owns or operates electric facilities subject to the jurisdiction of a municipality, as opposed to the California Public Utilities Commission.

PG&E -- Pacific Gas & Electric Company

photovoltaic (PV) -- a technology using a semiconductor that converts light directly into electricity.

project -- group of one or more pieces of generating equipment, and ancillary equipment necessary to attach to the transmission grid, that is unequivocally separable from any other generating equipment or components. Two or more sets of generating equipment that are contiguous, or that share common control or maintenance facilities and schedules and are located within a one mile radius shall constitute a single project.

provider -- an entity that is either a supplier, marketer, or aggregator, or some combination, that provides electricity to end-use customers.

qualifying facility -- a qualifying small power production facility eligible for certification pursuant to Section 292.207 of Title 18 of the Code of Federal Regulations.

repower(ed) -- generically refers to replacing a significant portion of the generating equipment at an existing facility. In the context of this report, refers to an existing renewable generation facility that retrofits its existing facility to the point that the value of the retrofit is at least 80 percent of the value of the renovated facility.

SCE -- Southern California Edison Company

SDG&E -- San Diego Gas & Electric Company

self-generation -- generation of electricity used on-site and not sold into the main power grid.

small hydro -- a facility employing one or more hydroelectric turbine generators, the sum capacity of which does not exceed 30 megawatts. For purposes of this definition, "facility" shall be defined in a manner consistent with Title 18 of the Code of Federal Regulations, sections 292.201 et seq., provided however that the size of the facility is limited to 30 megawatts, rather than 80 megawatts.

solar thermal -- the conversion of sunlight to heat and its concentration and use to power a generator to produce electricity.

solid-fuel biomass -- a biomass technology that utilizes solid fuel, such as wood, agricultural waste, and other organic material that may be burned to produce electricity.
supplier -- a project that generates electricity

VII - Forms, Instructions, and Samples

CEC-1038E-1 -- Registration Form for Renewable Suppliers

CEC-1038E -2 -- Funding Eligibility Form for Renewable Suppliers

CEC-1038E -3 -- Monthly Invoice Form for Renewable Suppliers

CEC-1038E -4 -- Amendment Form for Renewable Suppliers

CEC-1038E -5 -- Authorized Signatures Form

STD-204 -- Vendor Data Record

Sample of Monthly Payment Statement

Instructions for CEC-1038E-1 Registration Form for Renewable Suppliers

To qualify for registration as a Renewable Supplier, the facility must use one (or more) of the following energy sources to generate electricity: solar, wind, geothermal, solid-fuel biomass, waste tire, municipal solid waste, digester gas, or hydropower with a generating capacity of 30 megawatts or less. The facility can not use more than 25 percent fossil fuel. The facility may be located in California or out-of-state. Being registered as a renewable supplier does not automatically make you eligible for funds from the Renewable Resources Trust Fund; to be eligible for funding, you must meet the eligibility requirements outlined in the guidebook. Furthermore, registration as a renewable supplier does not imply Energy Commission endorsement or verification of renewable status. Registration as a renewable supplier merely stipulates that the facility has certified under penalty of perjury that they meet the definitions of a renewable facility, and have obtained a CEC ID number from the Energy Commission that some entities require for tracking purposes. Following are specific instructions on filling out each section of CEC-1038E-1:

1. **Name of Facility** -- Current full name of the generating facility. Include name of business or company that owns facility, if different than facility name
2. **QFID Number** -- The ID number assigned by your utility. This is sometimes also called the log number
3. **Physical Address of Facility** -- Actual physical location of the generating facility
4. **Contact Person** -- Name, address, and telephone/telefax number for the contact person for any questions or concerns the Energy Commission may have
5. **Energy Source** -- Energy source used for generation at the facility
6. **Capacity of Facility** -- The sum capacity, in kilowatts, of all electrical generating equipment employed at the facility
7. **Operational Date** -- Date the facility began generating electricity
8. **Percentage of Fossil Fuel Used (if applicable)** -- Please indicate the overall percentage of fossil fuels used (if any) on a total energy input basis for the 1996 calendar year; if none, enter N/A
9. **Declaration** -- The declaration must be completed by an officer of the company such as the Chief Executive Officer, Chief Financial Officer, or a similar officer with authority to bind the company

E REGISTRATION FORM FOR RENEWABLE SUPPLIERS



CALIFORNIA ENERGY COMMISSION

RENEWABLE
ENERGY
PROGRAM

Please submit form to:
California Energy Commission
Renewable Energy Program
1516 Ninth Street, MS-45
Sacramento, CA 95814-5512

Please print or type.
Instructions for completing this
form are contained in Volume 1 of
the Guidebook for the Renewable
Energy Program.

FACILITY INFORMATION

1. Name of Facility			2. QFID Number
3. Physical Address of Facility			Telephone
City	State	Zip	Telefax
4. Contact Person		Title	
Address			Telephone
City	State	Zip	Telefax
5. Energy Source (check all that apply)			
<input type="checkbox"/> Biomass <input type="checkbox"/> Solar Thermal <input type="checkbox"/> Waste Tire <input type="checkbox"/> Wind <input type="checkbox"/> Geothermal <input type="checkbox"/> Digester Gas <input type="checkbox"/> Landfill Gas <input type="checkbox"/> Municipal Solid Waste <input type="checkbox"/> Small Hydro <input type="checkbox"/> Photovoltaic <input type="checkbox"/> Other (specify) _____			
6. Capacity of Facility (in kW)	7. Operational Date	8. % of Fossil Fuel used (if applicable)	

9. DECLARATION

I, (print name and title) _____,
declare under the penalty of perjury that the information provided in this form is true and correct to the best of
my knowledge.

Dated this _____ day of _____, 20____, at _____.
(day) (month) (year) (place of execution)

Signature: _____

Note: All data submitted on this form is subject to public disclosure

Instructions for CEC-1038E-2 Funding Eligibility Form for Renewable Suppliers

If a facility meets the eligibility requirements described in the guidebook, after having registered as a renewable supplier, or concurrently, it may apply for funding using CEC-1038E-2. Following are specific instructions on filling out each section of CEC-1038E-2:

1. **Name of Facility** -- Current full name of the generating facility. Include name of business or company that owns facility, if different than facility name
2. **QFID Number** -- The ID number assigned by your utility. This is sometimes also called the log number
3. **CEC ID Number** -- The Registered Renewable Supplier ID number assigned to the facility by the Energy Commission (for those facilities applying for registration and eligibility simultaneously, leave blank)
4. **Payee Name Address** -- Name and address to which payments are to be sent
5. **Type of Utility Contract/Utility Contracted With** -- Type of contract you have with an investor-owned utility, and the utility contracted with (if applicable); if not contracted with a utility, utility service area where facility is located
6. **Qualifying Facility Status** -- Indicate whether the facility is certified as a Qualifying Facility pursuant to section 292.207 of Title 18 of the Code of Federal Regulations
7. **Facility Ownership** -- Indicate whether the facility is now, or has been in the past, owned by an investor-owned utility, or a local publicly owned electric utility
8. **Self-generation** -- Indicate if ***all*** of energy generated at this facility is used exclusively on site (self-generation)
9. **Fixed Energy Payments** -- Indicate if the facility receives any fixed ENERGY payments, such as those in the first 10 years of utility Standard Offer 4 contracts (fixed capacity payments do not apply). If “yes,” specify whether (1) all the energy from the facility receives fixed energy price; (2) the facility receives a blended price consisting of a mix of fixed and variable energy prices; or (3) the energy from the facility receives fixed energy payments or a blended price for an initial block of energy and variable energy payments for the energy generated above that initial block. **If the facility receives a blend of fixed and variable energy payments, the energy that receives fixed or blended price does not qualify for funding from the existing renewable resources account.** Please also include the date that the fixed energy payment portion of the facility’s contract ends.

10. **CTC Exclusion** -- Indicate if **all** of the energy generated at this facility is excluded from any applicable competitive transition charge (such as an over-the-fence transaction)
11. **Energy Sold to Out-of-State Customers** -- Indicate if all of the energy generated at this facility is sold to customers located outside of California
12. **Energy Sold to Local Publicly-Owned Electric Utility Customers** -- Indicate if all of the energy generated at this facility is sold to customers of a local publicly-owned electric utility
13. **First Month's Generation** -- Indicate the month and year for the first month's generation for which you intend to submit an invoice to the Energy Commission
14. **Third-Party Billing Statement** -- Include a copy of the most recent utility (or other independent third-party metering entity) billing statements (please include the entire statement)
15. **Declaration** -- The declaration must be completed by an officer of the company such as the Chief Executive Officer, Chief Financial Officer, or a similar officer with authority to bind the company

Note: Completed forms CEC-1038E-1 and CEC-1038E-2, once submitted to the Energy Commission, become public records subject to disclosure.

E

FUNDING ELIGIBILITY FORM FOR RENEWABLE SUPPLIERS EXISTING RENEWABLE RESOURCES ACCOUNT



RENEWABLE
ENERGY
PROGRAM

CALIFORNIA ENERGY COMMISSION

Please submit form to:
California Energy Commission
Renewable Energy Program
1516 Ninth Street, MS-45
Sacramento, CA 95814-5512

Please print or type. Please complete both sides of form. Instructions for completing this form are contained in Volume 1 of the Guidebook for the Renewable Energy Program

FACILITY INFORMATION

1. Name of Facility		2. QFID #	3. CEC ID #
4. Payee Name			
Payee Address			Telephone
City	State	Zip	Telefax
5. Type of Contract/Utility Contracted With			
<input type="checkbox"/> SO1 <input type="checkbox"/> SO2 <input type="checkbox"/> SO3 <input type="checkbox"/> ISO4 <input type="checkbox"/> Negotiated <input type="checkbox"/> Other (specify): _____			
<input type="checkbox"/> None Utility/Utility Service Area: <input type="checkbox"/> PG&E <input type="checkbox"/> SCE <input type="checkbox"/> SDG&E <input type="checkbox"/> Other			

ELIGIBILITY INFORMATION

6. Is the facility certified as a Qualifying Facility pursuant to Section 292.207 of Title 18 of the Code of Federal Regulations? <input type="checkbox"/> Yes <input type="checkbox"/> No	9. Does the facility currently receive any fixed energy payments from an existing contract with a utility for any portion of the facility's output? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please check which of the following apply: <input type="checkbox"/> a. All the energy from the facility receives a fixed energy payment. <input type="checkbox"/> b. All the energy from the facility receives a blended price of a mix of fixed and variable energy prices. <input type="checkbox"/> c. The energy from the facility receives fixed energy payments or a blended price for an initial block of energy, and variable energy payments for the energy generated above that initial block. Date fixed energy payment portion of contract ends: Month _____ Day _____ Year _____
7. Is the facility now, or has the facility previously been, owned by an investor-owned or local publicly owned electric utility? <input type="checkbox"/> Yes <input type="checkbox"/> No	
8. Is the entire output from this facility to be used exclusively for on-site (self) generation? <input type="checkbox"/> Yes <input type="checkbox"/> No	

Note: All data submitted on this form is subject to public disclosure

E

FUNDING ELIGIBILITY FORM FOR RENEWABLE SUPPLIERS EXISTING RENEWABLE RESOURCES ACCOUNT

ELIGIBILITY INFORMATION (CONT'D)

10. Is the entire output from this facility excluded from an applicable competitive transition charge?

☐ Yes ☐ No

11. Is the entire output from this facility sold directly to an out-of-state customer?

☐ Yes ☐ No

12. Is the entire output from this facility sold directly to a customer of a local publicly-owned electric utility (such as a municipal utility)?

☐ Yes ☐ No

13. What is the first month's generation for which you plan to submit an invoice?

_____ Month _____ Year

14. Please include a copy of one of your recent billing statements from your utility (or other independent third-party metering entity).

15. DECLARATION

I, (print name and title) _____, declare under penalty of perjury that the information provided in this form is true and correct to the best of my knowledge. I acknowledge that the eligibility and receipt of any payments from the Existing Renewable Resources Account is based upon the requirements and conditions set forth in the Commission's guidelines, and agree to abide by these requirements and conditions, to the extent applicable, at all times while receiving payments from the Existing Renewable Resources Account.

Dated this _____ day of _____, 20____, at _____.
(day) (month) (year) (place of execution)

Signature:

ENERGY COMMISSION USE ONLY

Determination _____

(Attach separate sheets if necessary)

☐ Further information needed for determination (attach explanation)

Reviewer

Date

ID Number Assigned

Note: All data submitted on this form is subject to public disclosure

Instructions for CEC-1038E-3 Monthly Invoice Report for Renewable Suppliers

All facilities wishing to receive funding from the California Energy Commission's Existing Renewable Resources Account are required to submit a signed CEC-1038E-3 on a monthly basis. Failure to submit this form by the specified due dates (see the Existing Renewable Resources Guidebook, Table 2, or the Energy Commission's web page, www.energy.ca.gov/renewables/), will result in forfeiture of payments for the specified month. Typically, invoices are due the 10th of the second month following generation (i.e. May 2003 generation is due July 10, 2003). All invoices must be accompanied by acceptable third-party verification (see guidebook for description of acceptable verification). If the third-party verification is **NOT** available by the invoice due date, be sure to submit the invoice by the due date anyway and select the "Estimated Generation" box in section 6 of the invoice form. Follow up with the third-party verification as soon as it is available. Following are specific instructions on filling out each section of CEC-1038E-3:

ADJUSTMENT – If you are submitting an adjustment to a previous month's generation submittal, check this box next to section 1

1. **CEC ID #** – The Registered Renewable Supplier ID number assigned to the facility by the Energy Commission
2. **QFID #** -- The ID number assigned by your utility. This is sometimes also called the log number
3. **Company Name** – Current full name of the generating facility. Include name of business or company that owns facility, if different than facility name
4. **Statement Period** – The billing month and year
5. **Production (in kWhs)** – Number of kWhs of generation eligible for funding in a given billing month, and based on the statement of an independent third party
6. **Please check one** -- Check the appropriate box in this section. If the production in section 5 is substantiated by an accompanying third party verification, select the first box; if you do not have appropriate third-party verification and are submitting an estimated generation amount, check the box labeled "Estimated Generation", and provide an explanation of why an estimate is being submitted along with the invoice.
7. **Contact** – The name of the person to contact in the event there is a problem with the invoice submitted
8. **Phone #** – Phone number of the contact person
9. **Fax #** -- Fax number of the contact person

10. **Declaration** -- The declaration must be completed by an officer of the company such as the Chief Executive Officer, Chief Financial Officer, or a similar officer with authority to bind the company

Invoices shall be submitted to the Energy Commission by the due dates shown in Table 2, Invoicing Schedule.

Invoices may be submitted by telefax or by mail to the following address:

**California Energy Commission
Renewable Energy Program
Attention: Accounting Office, MS-2
1516 Ninth Street
Sacramento, CA 95814-5512**

Telefax: (916) 653-1435

Invoices must be received by the Energy Commission's Accounting Office at the above address no later than 11:59 p.m. if by telefax, or 5 p.m. PST if by mail, on the due date specified in the Invoicing Schedule. Invoices that are incomplete, illegible, or received after the due date specified in the Invoicing Schedule will be rejected, and the facility shall be notified by fax of the reasons why the invoice was rejected. This notice shall be faxed to the contact person as specified on the registration forms. It is the responsibility of the facility to ensure that the contact information is maintained current.

Facilities paid on a quarterly basis by the utility will also be paid quarterly by the Energy Commission. Facilities under such a payment arrangement are required to notify the Energy Commission when registering or updating their registration forms. Since the amount of generation involved in those facilities that are paid quarterly is relatively small, its absence will not have an appreciable effect on the calculation of the incentive payment for those facilities that are paid monthly.

Suppliers that fail to properly invoice the Energy Commission for a given billing month as specified herein shall not receive payment for that billing month.

E**MONTHLY INVOICE REPORT FOR RENEWABLE SUPPLIERS
EXISTING RENEWABLE RESOURCES ACCOUNT**

Please submit invoice to:

California Energy Commission
Renewable Energy Program
Attention: Accounting Office (MS-2)
1516 Ninth Street, Sacramento, CA 95814-5512
Telefax: (916) 653-1435

*Instructions for completing this form are contained in the Guidebook
for the Existing Renewable Resources Account*

Please print or type

1. CEC ID #:	<input type="checkbox"/> ADJUSTMENT	
2. QFID #:	3. Company Name:	
4. Statement Period:	6. Please check one:	
5. Production (in kWhs)	<input type="checkbox"/> Based upon attached third-party statement <input type="checkbox"/> Estimated Generation	
7. Contact:	8. Phone #:	9. Fax #:

10. DECLARATION

I, (print name and title) _____, declare under penalty of perjury that the information provided in this invoice and declaration is true and correct to the best of my knowledge and that I, as an authorized agent of the above named company, have authority to submit this invoice on the company's behalf. I further declare under penalty of perjury that I have reviewed the electricity production data included in the attached statement(s), and, to the best of my knowledge, that it does not overstate the amount of electricity production supplied to the transmission grid or distribution system by the above named company, and that the following statements are true and correct to the best of my knowledge with respect to the energy identified in item 6 of this invoice: (a) the energy does not receive any fixed or blended energy payments under a contract with an electrical corporation; (b) the energy was not used for on-site (self) generation; (c) the energy does not receive energy payments at a price above the target price; (d) the energy does not receive incentive payments from the Central Valley Agriculture Waste Program; (e) the energy does not receive payments from the New Renewable Resources Account; (f) the energy was not sold directly to a local publicly-owned electric utility customer; and (g) the energy was not sold directly to an out-of-state customer.

Dated this _____ day of _____, 20____, at _____.
(day) (month) (year) (place of execution)

Signature:

Note: All data submitted on this form is subject to public disclosure

Instructions for CEC-1038E-4 Amendment Form for Renewable Suppliers

Whenever changes to registration information submitted on CEC-1038E-1 or CEC-1038E -2 needs to be updated, you must submit a CEC-1038E -4, Amendment Form for Renewable Suppliers. Following are specific instructions on filling out each section of CEC-1038E-4:

1. **CEC ID Number** – The Registered Renewable Supplier ID number assigned to the facility by the Energy Commission
2. **Name of Facility** – Current full name of the generating facility. Include name of business or company that owns facility, if different than facility name
3. **QFID Number** – The ID number assigned by your utility. This is sometimes also called the log number
4. **Contact Person** – Name, address, and telephone/telefax number for the contact person for any questions or concerns the Energy Commission may have
5. **Physical Address of Facility** – Actual physical location of the generating facility
6. **Payee Name** – Name and address to which payments are to be sent
7. **Type of Energy Contract** – Select whether you have a contract with an IOU, CA Department of Water Resources/California Power Authority, or other entity. Within each category please make the appropriate selections to further specify the type of contract the facility has.
8. **Energy Source** – Energy source used for generation at the facility
9. **Capacity** – The sum capacity, in kilowatts, of all electrical generating equipment employed at the facility
10. **Operational Date** – Date the facility began generating electricity
11. **Percentage of Fossil Fuel Used (if applicable)** – Please indicate the overall percentage of fossil fuels used (if any) on a total energy input basis for the 1996 calendar year; if none, enter N/A
12. **Declaration** – The declaration must be completed by an officer of the company such as the Chief Executive Officer, Chief Financial Officer, or a similar officer with authority to bind the company

E**AMENDMENT FORM FOR RENEWABLE SUPPLIERS
EXISTING RENEWABLE RESOURCES ACCOUNT**
**RENEWABLE
ENERGY
PROGRAM**

CALIFORNIA ENERGY COMMISSION

Please submit form to:

**California Energy Commission
Renewable Energy Program
1516 Ninth Street, MS-45
Sacramento, CA 95814-5512**
Please print or type. Please complete both sides of form. Instructions for completing this form are contained in Volume 1 of the Guidebook for the Renewable Energy Program
REQUIRED INFORMATION

1. CEC ID #	2. Name of Facility			3. QF ID #
4. Contact Person			Title	
Address			Telephone	
			Telefax	
City	State	Zip	E-mail Address	

AMENDED INFORMATION

5. Physical Address of Facility			Telephone
City	State	Zip	Telefax
6. Payee Name (30 Characters Maximum, including spaces)			
Payee Address			Telephone
City	State	Zip	Telefax

7. Type of Energy Contract (Select one of the following three options)

☐ Investor Owned Utility

Utility

☐ PG&E ☐ SCE ☐ SDG&E ☐ Other (specify): _____

Contract Type

☐ SO1 ☐ SO2 ☐ SO3 ☐ ISO4 ☐ Negotiated ☐ Other (specify): _____

Is this facility currently receiving energy payments under an amendment to the above contract?

☐ NO (This facility is receiving energy payments under "traditional" SRAC values)

☐ YES (Provide information below)

Average Annual Value (cents/kWh) _____ Date Amendment Scheduled to end _____

Note: All data submitted on this form is subject to public disclosure

Instructions for CEC-1890A-5 Authorized Signatures Form

All facilities requesting funding from the Existing Renewable Resources Account must submit the CEC-1890A-5 form, Authorized Signature Form. Only monthly invoices signed by persons listed on this form shall be accepted. Any time an authorized signer needs to be added or removed, a revised CEC-1890A-5 needs to be submitted with the Amended Form box checked. Following are specific instructions on filling out each section of CEC 1890 A-5:

1. **CEC ID Number** – The Registered Renewable Supplier ID number assigned to the facility by the Energy Commission
2. **Company Name** – Current full name of the generating facility. Include name of business or company that owns facility, if different than facility name
3. **Contact** – The name of the person to contact in the event there is a problem with the invoice submitted
4. **Phone Number** – Phone number of the contact person
5. **Fax Number** – Fax number of the contact person
6. **Declaration** – The declaration must be completed by an officer of the company such as the Chief Executive Officer, Chief Financial Officer, or a similar officer with authority to bind the company

E

AUTHORIZED SIGNATURES FORM EXISTING RENEWABLE RESOURCES ACCOUNT



*RENEWABLE
ENERGY
PROGRAM*

CALIFORNIA ENERGY COMMISSION

Please submit form to:

California Energy Commission
Renewable Energy Program
1516 Ninth Street (MS-45)
Sacramento, CA 95814-5512

*Instructions for completing this form are contained in the
Guidebook for the Existing Renewable Resources Account*

Please print or type



AMENDED FORM

1. CEC ID #:

2. Company Name:

3. Contact:

4. Phone #:

5. Fax #

**Please Print the names and provide signatures of all persons authorized to sign the Monthly Invoice Reports.
Provide primacy signer on the first line.**

Print Name

Signatures

☐ ADD

☐ ADD

☐ ADD

☐ ADD

6. DECLARATION

I, (print name and title) _____,
declare under penalty of perjury that the information provided in this form is true and correct to the best of my
knowledge. I acknowledge that the eligibility and receipt of any payments from the Existing Renewable
Resources Account is based upon the requirements and conditions set forth in the Commission's guidelines,
and agree to abide by these requirements and conditions, to the extent applicable, at all times while receiving
payments from the Existing Renewable Resources Account.

Dated this _____ day of _____, 20____, at _____.
(day) (month) (year) (place of execution)

Signature:

Note: All data submitted on this form is subject to public disclosure

Instructions for STD-204

Vendor Data Record

The State of California requires that all parties entering into business transactions that may lead to payment(s) from the State provide their Taxpayer Identification Number (TIN) as required by the State Revenue and Taxation Code, Section 18646, and Internal Revenue Code, Section 6109. This form must be on file with the Energy Commission in order for any payments to be made. If you have any questions about this form, please contact the California Franchise Tax Board at 1-800-852-5711. Following are instructions on filling out STD-204:

1. **Return Form To** -- Already completed by the Energy Commission
2. **Vendor information** -- Please enter your business name and address; if you are a sole proprietor, enter the owner's full name
3. **Vendor Entity Type** -- Please check the appropriate box
4. **Vendor's Taxpayer ID Number** -- Please enter your federal ID number. If you are an individual/sole proprietor, please enter your social security number
5. **Vendor Residency Status** -- Please check the appropriate box corresponding to your residency status
6. **Registering Signature** -- The registration must be signed by an authorized representative or officer such as the Chief Executive Officer or Chief Financial Officer of the corporation, or a similar officer with authority to bind the company

VENDOR DATA RECORD*(Required in lieu of IRS W-9 when doing business with the State of California)*

STD. 204 (REV. 12-94)

NOTE: Governmental entities, federal, state, and local (including school districts) are not required to submit this form.

SECTION 1 must be completed by the requesting state agency before forwarding to the vendor

1 PLEASE RETURN TO:	<table border="1"> <tr> <td>DEPARTMENT/OFFICE</td> <td>California Energy Commission Accounting Office MS #2</td> </tr> <tr> <td>STREET ADDRESS</td> <td>1516 Ninth Street Sacramento, CA 95814</td> </tr> <tr> <td>CITY, STATE, ZIP CODE</td> <td></td> </tr> <tr> <td>TELEPHONE NUMBER</td> <td></td> </tr> </table>	DEPARTMENT/OFFICE	California Energy Commission Accounting Office MS #2	STREET ADDRESS	1516 Ninth Street Sacramento, CA 95814	CITY, STATE, ZIP CODE		TELEPHONE NUMBER		PURPOSE: Information contained in this form will be used by state agencies to prepare Information Returns (Form 1099) and for withholding on payments to nonresident vendors. Prompt return of this fully completed form will prevent delays when processing payments. (See Privacy Statement on reverse.)															
DEPARTMENT/OFFICE	California Energy Commission Accounting Office MS #2																								
STREET ADDRESS	1516 Ninth Street Sacramento, CA 95814																								
CITY, STATE, ZIP CODE																									
TELEPHONE NUMBER																									
2	VENDOR'S BUSINESS NAME SOLE PROPRIETOR—ENTER OWNER'S FULL NAME HERE <i>(Last, First, M.I.)</i> MAILING ADDRESS <i>(Number and Street or P. O. Box Number)</i> <i>(City, State, and Zip Code)</i>																								
3 VENDOR ENTITY TYPE	CHECK ONE BOX ONLY <table border="0"> <tr> <td><input type="checkbox"/> MEDICAL CORPORATION <i>(Including dentistry, podiatry, psychotherapy, optometry, chiropractic, etc.)</i></td> <td><input type="checkbox"/> PARTNERSHIP</td> </tr> <tr> <td><input type="checkbox"/> EXEMPT CORPORATION (Non-profit)</td> <td><input type="checkbox"/> ESTATE OR TRUST</td> </tr> <tr> <td><input type="checkbox"/> ALL OTHER CORPORATIONS</td> <td><input type="checkbox"/> INDIVIDUAL/SOLE PROPRIETOR</td> </tr> </table>	<input type="checkbox"/> MEDICAL CORPORATION <i>(Including dentistry, podiatry, psychotherapy, optometry, chiropractic, etc.)</i>	<input type="checkbox"/> PARTNERSHIP	<input type="checkbox"/> EXEMPT CORPORATION (Non-profit)	<input type="checkbox"/> ESTATE OR TRUST	<input type="checkbox"/> ALL OTHER CORPORATIONS	<input type="checkbox"/> INDIVIDUAL/SOLE PROPRIETOR	NOTE: State and local governmental entities, including school districts are not required to submit this form.																	
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4 VENDOR'S TAXPAYER I. D. 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ARE YOU A RESIDENT OR A NONRESIDENT?

Each corporation, individual/sole proprietor, partnership, estate or trust doing business with the State of California must indicate their residency status along with their vendor identification number.

A corporation will be considered a "resident" if it has a permanent place of business in California. The corporation has a permanent place of business in California if it is organized and existing under the laws of this state or, if a foreign corporation has qualified to transact intrastate business. A corporation that has not qualified to transact intrastate business (e.g., a corporation engaged exclusively in interstate commerce) will be considered as having a permanent place of business in this state only if it maintains a permanent office in this state that is permanently staffed by its employees.

For individuals/sole proprietors, the term "resident" includes every individual who is in California for other than a temporary or transitory purpose and any individual domiciled in California who is absent for a temporary or transitory purpose. Generally, an individual who comes to California for a purpose which will extend over a long or indefinite period will be considered a resident. However, an individual who comes to perform a particular contract of short duration will be considered a nonresident.

For withholding purposes, a partnership is considered a resident partnership if it has a permanent place of business in California. An estate is considered a California estate if the decedent was a California resident at the time of death and a trust is considered a California trust if at least one trustee is a California resident.

More information on residency status can be obtained by calling the Franchise Tax Board at the numbers listed below:

From within the United States, call 1-800-852-5711
From outside the United States, call 1-916-854-6500
For hearing impaired with TDD, call 1-800-822-6268

ARE YOU SUBJECT TO NONRESIDENT WITHHOLDING?

Payments made to nonresident vendors, including corporations, individuals, partnerships, estates and trusts, are subject to withholding. Nonresident vendors performing services in California or receiving rent, lease or royalty payments from property (real or personal) located in California will have 7% of their total payments withheld for state income taxes. However, no withholding is required if total payments to the vendor are \$1500 or less for the calendar year.

A nonresident vendor may request that income taxes be withheld at a lower rate or waived by sending a completed form FTB 588 to the address listed below. A waiver will generally be granted when a vendor has a history of filing California returns and making timely estimated payments. If the vendor activity is carried on outside of California or partially outside of California, a waiver or reduced withholding rate may be granted. For more information, contact:

Franchise Tax Board
Withhold at Source Unit
Attention: State Agency Withholding Coordinator
P.O. Box 651
Sacramento, CA 95812-0651
Telephone: (916) 845-4900
FAX: (916) 845-4831

If a reduced rate of withholding or waiver has been authorized by the Franchise Tax Board, attach a copy to this form.

PRIVACY STATEMENT

Section 7(b) of the Privacy Act of 1974 (Public Law 93-5791) requires that any federal, state, or local governmental agency which requests an individual to disclose his social security account number shall inform that individual whether that disclosure is mandatory or voluntary, by which statutory or other authority such number is solicited, and what uses will be made of it.

The State of California requires that all parties entering into business transactions that may lead to payment(s) from the State must provide their Taxpayer Identification Number (TIN) as required by the State Revenue and Taxation Code, Section 18646 to facilitate tax compliance enforcement activities and to facilitate the preparation of Form 1099 and other information returns as required by the Internal Revenue Code, Section 6109. The TIN for individual and sole proprietorships is the Social Security Number (SSN).

It is mandatory to furnish the information requested. Federal law requires that payments for which the requested information is not provided be subject to a 31% withholding and state law imposes noncompliance penalties of up to \$20,000.

You have the right to access records containing your personal information, such as your SSN. To exercise that right, please contact the business services unit or the accounts payable unit of the state agency(ies) with which you transact business.

Please call the Department of Finance, Fiscal Systems and Consulting Unit at (916) 324-0385 if you have any questions regarding this Privacy Statement. Questions related to residency or withholding should be referred to the telephone numbers listed above. All other questions should be referred to the requesting agency listed in Section 1.